

FORMS PTO-1390
(REV 10-96)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

DeLiso 11-3-5-8

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

60/114399/869441

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

INTERNATIONAL APPLICATION NO.

PCT/US99/29225

INTERNATIONAL FILING DATE

09 December 1999

PRIORITY DATE CLAIMED

30 December 1998

TITLE OF INVENTION

TANTALA DOPED WAVEGUIDE AND METHOD OF MANUFACTURE

APPLICANT(S) FOR DO/EO/US

Corning Incorporated

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
 - a. ☒ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. To 16. Below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An Assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.
14. ☐ A SECOND or SUBSEQUENT preliminary amendment.
15. ☐ A change of power of attorney and/or address letter.
16. ☐ Other items or information:

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

60/114,268

INTERNATIONAL APPLICATION NO.

PCT/US99/29225

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17. ☒ The following fees are submitted:

CALCULATIONS

PTO USE ONLY

BASIC NATIONAL FEE (37 CFR 1.492 (a)(1)-(5):

Search Report has been prepared by the EPO or JPO.....\$840.00
 International preliminary examination fee paid to USPTO (37 CFR 1.482).....\$670.00
 No international preliminary examination fee paid to USPTO (37 CFR 1.482) but
 international search fee paid to USPTO (37 CFR 1.445(a)(2)).....\$760.00
 Neither international preliminary examination fee (37 CFR 1.482) not international search
 fee (37 CFR 1.445(a)(2)) paid to USPTO.....\$970.00
 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims
 satisfied provisions of PCT Article 33(2)-(4).....\$96.00

ENTER APPROPRIATE BASIC FEE AMOUNT = \$ 840.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from
 the earliest claimed priority date (37 CFR 1.492(e)).

\$

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	22 - 20 =	2	X \$18.00
Independent claims	3 - 3 =		X \$80.00

\$ 36.00

\$

MULTIPLE DEPENDANT CLAIM(S) (if applicable) + \$260.00

\$

TOTAL OF ABOVE CALCULATIONS = \$ 876.00

Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity
 Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28)

\$

SUBTOTAL = \$ 876.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30
 months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

TOTAL NATIONAL FEE = \$ 876.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
 accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property

\$ 40.00

TOTAL FEES ENCLOSED = \$ 916.00

**Amount to be
 refunded:**

\$

Charged: \$ 916.00

- a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.
 b. ☒ Corning Incorporated hereby authorizes use of Deposit Account No. 03-3325 in the amount of
 \$916.00 to cover the above fees. A duplicate copy of this sheet is enclosed.
 c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or
 credit any overpayment to Deposit Account No. 03-3325. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR
 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

Send all correspondence to:

William J. Chervenak

Corning Incorporated

SP-TI-03

Corning, NY 14831

William J. Chervenak
 Signature

William J. Chervenak

Registration No.: 38,407

(607) 974-3956

09/869441

patent application serial no.

*Department of Commerce
Patent and Trademark Office
fee record*

07/05/2001 ATRAM1 00000050 033325 09869441

01 FC:970	860.00 CH
02 FC:966	36.00 CH

09/869441

JC03 Rec'd PPTC

26 JUN 2001

Attorney Docket No.: DeLiso 11-3-5-8

CERTIFICATE OF EXPRESS MAIL UNDER 37 CFR 1.10:

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on 26 June 2001 above and is Addressed to the Commissioner of Patents and Trademarks, Washington, DC 20231

Signature

William J. Chervenak

"EXPRESS MAIL" Mailing Label No. EL689103566US

JC041 Rec'd PCT/PTO 26 JUN 2001

09/869441

The PTO did not receive the following
listed item(s)

No Postcard